NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
2016 RECORDS MANAGEMENT SELF-ASSESSMENT

Welcome to the 2016 Records Management Self-Assessment!

Before you begin, please note the following information.

Except where indicated, the questions in this survey are intended to cover all records regardless of format, as defined in 44 U.S.C. 3301.

The questions apply regardless of whether your agency's work processes are conducted manually or electronically.

Unless otherwise indicated, the following questions refer to FY 2016 (October 1, 2015, through September 30, 2016).

Your answers to the self-assessment questions must be specific to records management activities in your agency. We have added a "not applicable" answer option to some questions. In general, use this option only if a question references an activity or action that is not conducted in your agency because of its size or if you are a Departmental Records Officer and are not responsible for the activity or action. In some cases, if the activity is being done by a departmental records management program, component agencies of that department may answer "Yes."

NOTE: Please note that your responses to questions in this assessment may be subject to public release pursuant to FOIA. However, we will not release responses to questions that contain detailed descriptions of agency activities.

NARA reserves the right to follow up with agencies to obtain additional information and/or documentation that supports their answers to the questions in this self-assessment.

As in previous years we will be conducting a validation process. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

If you have any questions about this self-assessment or need additional information to answer a question(s) or provide the requested documentation, please send an email message to rmselfassessment@nara.gov.

Section I: Records Management Program - Activities

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

☐ Yes
☐ No
☐ Do not know

2. If Yes: Please provide the person's name, position title, and office.

3. If Yes: How long has this person been responsible for coordinating and overseeing the implementation of the records management program?

☐ 5 or more years
☐ 3 to 4 years
☐ 1 to 2 years
☐ Less than a year

4. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

☐ Yes
☐ No, pending final approval
☐ No, under development
☐ No
☐ Do not know

5. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

☐ FY 2016 - present
☐ FY 2014 - 2015
☐ FY 2012 - 2013
☐ FY 2011 or earlier
☐ Do not know
☐ Not applicable, agency does not have a records management directive

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

6. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, agency has less than 100 employees
☐ Not applicable, Departmental Records Officer - this is done at the component level

The next series of questions relate to records management training.

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it _must:_

- **be regular (occurring more than just once);**
- **be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and**
- **communicate the agency's vision of records management.**

7. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f))

*Includes NARA's records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know
☐ Not applicable, please explain

8. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities?** (36 CFR 1220.34(f))

*Includes NARA's records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.

**Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

9. Does your agency <u>require</u> that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

☐ Yes
☐ No
☐ Do not know

10. Is records management training included in the new hire in-processing for new employees in your agency?

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know

11. Please add any additional comments about your agency for Section I: Activities. (Optional)

Section II: Records Management Program – Oversight and Compliance

Agency records management programs must provide for effective controls over the creation, maintenance, and use of records in the conduct of current business. (36 CFR 1220.30(c)(1))

Internal controls are integral components of an organization's management that provide reasonable assurance of the effectiveness and efficiency of operations; reliability of financial reporting; and compliance with applicable laws and regulations. ("Standards for Internal Control in the Federal Government" (GAO-14-704G), U.S. Government Accountability Office, September 2014, http://www.gao.gov/products/GAO-14-704G.)

Internal controls are:

- Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;
- Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;
- Carried out by people—not merely about policy and procedure manuals, systems, and forms, but about people and the actions they take at every level of an organization to effect internal control;
- Able to provide reasonable assurance, but not absolute assurance, to an entity's senior management;
- Adaptable to the organization's entire structure—flexible in application for the entire entity or for a particular regional office, division, operating unit, or business process.

Control activities occur throughout the organization, at all levels and in all functions. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews/audits of operating performance, security of assets (limited access to inventories or equipment), and segregation of duties (separate personnel with authority to authorize a transaction, process the transaction, and review the transaction). Monitoring the effectiveness of internal controls should occur in the normal course of business. Periodic assessments should be integrated as part of management's continuous monitoring of internal control, which should be ingrained in the agency's operations. ("2013 Internal Control - Integrated Framework," Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013, http://www.coso.org/documents/Internal%20Control-Integrated%20Framework.pdf; and OMB Circular A-123, "Management's Responsibility for Enterprise Risk Management and Internal Control," July 15, 2016, https://www.whitehouse.gov/sites/default/files/omb/memoranda/2016/m-16-17.pdf.)

12. <u>In addition to</u> your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e))

> ****** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

* Examples of records management internal controls include but are not limited to:

- Regular briefings and other meetings with records creators
- Approval process for handling transfer notices from Federal Records Centers
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know

13. <u>In addition to</u> your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))

> ****** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

* Examples of records management internal controls include but are not limited to:

- Regular review of records inventories
- Approval process for disposal notices from off-site storage
- Require certificates of destruction
- Monitoring shredding services
- Performance testing for email
- Monitoring and testing of file plans
- Pre-authorization from records management program before records are destroyed
- Ad hoc monitoring of trash and recycle bins
- Notification from facilities staff when large trash bins or removal of boxes are requested
- Annual records clean out activities sponsored and monitored by records management staff

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know

An evaluation is an inspection, audit, or review of one or more records management programs for effectiveness and for compliance with applicable laws and regulations. An evaluation contains recommendations for correcting or improving records management practices, policies, and procedures as well as follow-up activities, including reporting on and implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18)

14. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations?

> ****** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.

☐ Yes
☐ No, please explain
☐ Do not know

15. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

☐ Every 1 - 2 years
☐ Every 3 - 4 years
☐ Every 5 years
☐ More than every 5 years
☐ Do not know
☐ Not applicable, agency does not evaluate its records management program

16. Was a formal written report prepared as part of the most recent inspection/audit/review?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, agency does not evaluate its records management program

17. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, agency does not evaluate its records management program

An essential control for any records management program is the establishment of performance goals and associated performance targets and performance measures.

Performance goals are the target levels of performance. Performance goals should be specific, measurable, attainable, results-oriented, and time-bound.

18. Has your agency established performance goals for its records management program?

*Examples of performance goals include but are not limited to:

- Identifying and scheduling all paper and non-electronic records by the end of FY 2017
- Developing computer-based records management training modules by the end of FY 2017
- Planning and piloting an electronic records management solution for email by the end of FY 2017
- Updating records management policies by the end of the year
- Conducting records management evaluations of at least one program area each quarter

☐ Yes
☐ No
☐ Currently under development
☐ Do not know

Performance measures are the indicators or metrics against which a program's performance can be gauged. Performance measures should provide a basis for comparing actual results with established performance goals. ("Performance Measurement Challenges and Strategies," June 18, 2003, white paper associated with the Office of Management and Budget's Program Assessment Rating Tool (PART), http://www.whitehouse.gov/sites/default/files/omb/part/challenges_strategies.pdf; and "Government Performance and Results Modernization Act of 2010," Section 4, Performance reporting amendments, https://www.whitehouse.gov/omb/performance/gprm-act.)

19. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

*Examples of performance measures include but are not limited to:

- Percentage of agency employees that receive records management training in a year
- A reduction in the volume of inactive records stored in office space
- Percentage of eligible permanent records transferred to NARA in a year
- Percentage of records scheduled
- Percentage of offices evaluated/inspected for records management compliance
- Percentage of email management auto-classification rates
- Development of new records management training modules
- Audits of internal systems
- Annual updates of file plans
- Performance testing for email applications to ensure records are captured

☐ Yes
☐ No
☐ Currently under development
☐ Do not know

20. Does your agency's records management program have **documented and approved** policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know

Vital records* (also known as Essential Records) are records needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). (36 CFR 1223.2)

*pending updates to regulations, the RMSA still uses this terminology

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

21. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

*Departmental agency components may answer "Yes" if this is handled at the department level.

☐ Yes
☐ No
☐ Do not know

22. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

☐ Annually
☐ Every 2 - 3 years
☐ Every 4 - 6 years
☐ Never
☐ Do not know

23. Is your vital records plan part of the Continuity of Operations (COOP) plan?

☐ Yes
☐ No
☐ Do not know

24. Does your agency identify and analyze internal and external risks to records and information?

☐ Yes
☐ No
☐ To some extent
☐ Do not know

25. If Yes or To some extent: Does your agency have policies in place to protect records and information from internal and external risks?

☐ Yes
☐ No
☐ No, pending final approval
☐ No, under development
☐ Do not know

Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552).

Since 1967, the Freedom of Information Act (FOIA) has provided the public the right to request access to records from Federal agencies within the executive branch, independent regulatory agencies, and some components within the Executive Office of the President. It is often described as the law that keeps citizens in the know about their government. Federal agencies generally are required to disclose any information requested under the FOIA unless it falls under one of nine exemptions which protect interests such as personal privacy, national security, and law enforcement.

The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may need consultation with your agency's FOIA Officer.

26. The Agency Records Officer and the FOIA Officer:

☐ Are the same person
☐ Coordinate closely together
☐ Know each other but do not work together

27. If the Agency Records Officer is not the FOIA Officer, please provide the FOIA Officer's name, position title, and contact information.

28. The FOIA Officer can find records needed to respond to a FOIA request.

Select on the sliding scale a number between 1 and 5, with 1 being with difficulty and 5 being easily.

29. Does your agency use software or other technology to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests?

☐ Yes
☐ No
☐ To some extent
☐ Do not know

30. If Yes: Please list the software or other technology used by your agency to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests.

31. Do FOIA programs throughout your agency have standard operating procedures for the *entire* FOIA process including intake/triage, fees, expedited processing, search, review, estimated dates of completion and response?

☐ Yes
☐ No
☐ To some extent
☐ Under development
☐ Do not know

32. Have FOIA programs throughout your agency identified performance measures for FOIA activities?

*Examples of performance measures for FOIA programs include but are not limited to:

- Number of pages processed
- Reduction in response times
- Reduction in backlog
- Increase in proactive disclosures

☐ Yes
☐ No
☐ To some extent
☐ Under development
☐ Do not know

33. If No: Why not?

☐ Do not know how to determine what performance measures are needed
☐ My agency has performance measures but not specific to FOIA.
☐ Do not understand the question
☐ Other, please explain

34. Do FOIA programs throughout your agency alert requesters to the dispute resolution services offered by the Office of Government Information Services (OGIS)*?

*The Office of Government Information Services (OGIS) is a Freedom of Information Act (FOIA) resource for both the public and the government. Congress mandated OGIS with reviewing agency compliance with FOIA, identifying policies and procedures for improving FOIA compliance, and providing mediation services to resolve FOIA disputes between Federal agencies and requestors.

☐ Yes
☐ No
☐ Do not know

The _FOIA Improvement Act of 2016_ amends Section 3102 of the Federal Records Act, 44 U.S.C., to include a requirement that agencies establish "procedures for identifying records of general interest or use to the public that are appropriate for public disclosure, and for posting such records in a publicly accessible electronic format."

35. Are you familiar with the changes to this law?

☐ Yes
☐ To some extent
☐ No

36. If Yes: Has your agency started to identify records that are of general interest or use to the public that are appropriate for public disclosure? (P.L. 114-185)

☐ Yes
☐ No
☐ To some extent
☐ Do not know

37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Section III: Records Management Program - Records Disposition

Records disposition refers to actions taken with regard to Federal records that are no longer needed for current government business as determined by their appraisal pursuant to legislation, regulation, or administrative procedure. Disposition is a comprehensive term that includes both destruction and transfer of Federal records to the National Archives of the United States. (36 CFR Parts 1222, 1224, 1225 and 1226)

The next series of questions relate to your agency's efforts to schedule its records.

38. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10 and 36 CFR 1225.12)

☐ Yes
☐ No
☐ To some extent
☐ Do not know

39. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

☐ Yes, all records are easily retrievable and accessible when needed
☐ Most records can be retrieved and accessed in a timely manner
☐ Some records can be retrieved and accessed in a timely manner
☐ No
☐ Do not know

40. When was the last time your agency submitted a records schedule to the National Archives of the United States?

☐ FY 2014 - 2016
☐ FY 2011 - 2013
☐ FY 2008 - 2010
☐ FY 2007 or earlier
☐ Do not know, please explain

41. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18))

☐ Yes
☐ No
☐ Do not know

42. If Yes: When do you plan on transferring these records to NARA?

☐ FY 2017
☐ FY 2018
☐ FY 2019
☐ FY 2020
☐ After FY 2020
☐ Do not know, please explain

43. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

☐ Yes
☐ No

44. Does your agency disseminate *every* approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))

☐ Yes
☐ No
☐ Do not know

45. If Yes: What method(s) does your agency use? (Choose all that apply)

☐ Post to internal website or other shared information location
☐ Memorandum or email notification
☐ Update training materials
☐ Update records management policies and/or handbooks
☐ Other, please explain

46. Did your agency transfer permanent non-electronic records to NARA during FY 2016? (36 CFR 1235.12)

☐ Yes
☐ No
☐ No - No records were eligible for transfer during FY 2016
☐ No - New agency, records are not yet old enough to transfer
☐ No - My agency does not have any permanent non-electronic records
☐ Do not know
☐ Other, please explain

The next series of questions relate to your agency's permanent electronic records.

47. Did your agency transfer permanent electronic records to NARA during FY 2016? (36 CFR 1235.12)

☐ Yes
☐ No
☐ No - No electronic records/systems were eligible for transfer during FY 2016
☐ No - New agency, electronic records/systems are not old enough to transfer
☐ No - My agency does not have any permanent electronic records
☐ Do not know
☐ Other, please explain

48. If Yes: Were the permanent electronic records transferred during FY 2016 using the Electronic Records Archives (ERA)?

☐ Yes
☐ No
☐ Do not know

49. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, my agency does not have any permanent electronic records

50. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

51. If Yes: What method(s) does your agency use to track its permanent records? (Choose all that apply)

☐ Rely on Federal Records Center notifications
☐ Maintain an inventory
☐ Database or other automated tracking
☐ Manual tracking
☐ Other, please explain

The next series of questions relate to your agency's handling of records for separating senior officials.

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

52. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1222.24 (a)(6) and 36 CFR 1230.10(a & b))

☐ Yes
☐ Yes, but not documented
☐ No
☐ Do not know
☐ Not applicable, please explain

53. If Yes: Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?

☐ Yes
☐ No
☐ Do not know

54. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

☐ Yes
☐ No, please explain
☐ Do not know

55. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Section IV: Records Management Program - Electronic Records

Electronic information system means an information system that contains and provides access to computerized Federal records and other information. (36 CFR 1236.2)

The following types of records management controls are needed to ensure that Federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself. (36 CFR 1236.10)

(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.

(c) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.

(d) Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.

(e) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.

(f) Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.

(g) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.

56. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

Migration is a set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation. (NARA records management training class: *Electronic Records Management*, **Module 2.)**

Metadata consists of preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1236.2)

57. Does your agency have **documented and approved** procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

☐ Yes
☐ No
☐ Do not know

58. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?(36 CFR 1235.20(b)(6))

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

59. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

☐ Yes
☐ No, please explain
☐ Do not know

60. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

☐ Yes
☐ No, please explain
☐ Do not know
☐ Not applicable, please explain

61. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

☐ Yes
☐ To some extent
☐ No, please explain
☐ Do not know
☐ Not applicable, please explain

62**.** If Yes or To some extent: Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)

☐ Participate in review and acceptance of proposals for new systems
☐ Participate as stakeholder in requirements gathering
☐ Participate as stakeholder in design phase
☐ Participate as stakeholder in development phase including testing the system
☐ Provide sign off authority for the implementation of new systems
☐ Monitor system for adherence to standards, policies, and procedures
☐ Provide information only
☐ Do not know
☐ Other, please explain

The next series of questions relate to email.

An electronic mail system is a computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an email system. (36 CFR 1236.2)

63. Does your agency have **documented and approved** policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)

☐ Yes
☐ No, please explain
☐ Do not know

64. Does your agency have **documented and approved** policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email? (36 CFR 1236.22(e))

☐ Yes
☐ No
☐ Do not know

Regardless of how many Federal email accounts individuals use to conduct official business, agencies must ensure that all accounts are managed, accessible and identifiable according to Federal recordkeeping requirements. (36 CFR 1236.22)

65. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03)

* Examples of business needs may include but are not limited to:

- Using separate accounts for public and internal correspondence
- Creating accounts for a specific agency initiative which may have multiple users
- Using separate accounts for classified information and unclassified information

☐ Yes
☐ No
☐ Do not know

66. Does your agency have **documented and approved** policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

☐ Yes
☐ No
☐ Do not know

67. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

☐ Yes
☐ No
☐ Do not know

68. Does your agency have **documented and approved** policies that address the use of personal email accounts, whether or not allowed, that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187) (3 points)

☐ Yes
☐ No
☐ Do not know

69. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

☐ Yes
☐ No
☐ Do not know

70. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

☐ Captured and stored in an email archiving system
☐ Captured and stored in an electronic records management system
☐ Captured and stored as .PST
☐ Print and file
☐ Not captured and email is managed by the end-user in the native system
☐ Other, please be specific

71. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

☐ Yes
☐ No
☐ Do not know

72. If Yes: Who evaluates, monitors, or audits staff compliance with the agency's email preservation policies? (Choose all that apply)

☐ Inspector General
☐ Chief Information Officer
☐ Agency Records Officer
☐ Other, please explain
☐ Do not know

73. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?

☐ Every 6 months
☐ Every year
☐ Every 2 years
☐ Less frequently than every 2 years
☐ Do not know
☐ Not applicable, agency does not audit staff compliance

74. Has your agency implemented a plan to use the "Capstone" approach for managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

☐ Yes
☐ No, please explain
☐ Do not know

75. If Yes: Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

☐ Yes

☐ No, please explain

☐ Do not know

☐ Not applicable, already submitted NA-1005 to use GRS 6.1: Email Managed Under a Capstone Approach

☐ Not applicable, planning to use GRS 6.1 but have not yet submitted NA-1005

76. Is your agency able to access email from departed employees in a usable and retrievable manner?

☐ Yes

☐ No

☐ Do not know

77. Is your agency able to prevent unauthorized access, modification, or destruction of emails?

☐ Yes

☐ No

☐ Do not know

78. Can your agency transfer permanent email records to the National Archives of the United States in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?

☐ Yes

☐ No

☐ Do not know

79. Is your agency able to decrypt permanent email records before they are accessioned by NARA?

☐ Yes

☐ No

☐ Do not know

The Federal Records Act was amended in November 2014 and added a new definition for electronic messages in 44 U.S.C. 2911. The law states: "The term 'electronic messages' means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals."

Electronic messages include text messaging, chat/instant messaging, messaging functionality in social media tools or applications, voice messaging, and similar forms of electronic messaging systems.

Electronic messages created or received in the course of agency business are Federal records. Like all Federal records, these electronic messages must be scheduled for disposition.

Please see NARA Bulletin 2015-02: Guidance on Managing Electronic Messages for more guidance on this topic.

80. Does your agency have **documented and approved** policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

☐ Yes
☐ No
☐ Do not know
☐ Other, please explain

81. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?

☐ Yes
☐ No
☐ Do not know

The next series of questions relate to metadata.

Simply put, metadata are elements of information that answer the questions 'who, what, where, when, and why' regarding electronic records. Metadata elements provide administrative, descriptive, and technical information that describe the structure and content of electronic records. Metadata elements also provide contextual information that explains how electronic records were created, used, and managed.

In FY 2015 NARA introduced a bulletin that defines the minimum set of metadata elements that must accompany transfers of permanent electronic records to the National Archives of the United States. Per 36 CFR 1235.48, Federal agencies are required to transfer documentation adequate for NARA to identify, service, and interpret permanent electronic records for as long as they are needed. (NARA 2015-04 *Metadata Guidance for the Transfer of Permanent Electronic Records*)

82. Which of the following best describes the steps your agency has taken to comply with metadata bulletin NARA 2015-04 *Metadata Guidance for the Transfer of Permanent Electronic Records* to maintain metadata for permanent electronic records?

☐ We have implemented measures to comply with NARA Bulletin 2015-04

☐ We have reviewed NARA Bulletin 2015-04 and are planning to implement measures to comply with NARA Bulletin 2015-04

☐ We have reviewed NARA 2015-04 but have not taken steps to implement it

☐ We have not reviewed NARA 2015-04

☐ Do not know

☐ None of the above, please explain

83. Which of the following best describes the level at which your organization is responsible for defining records management metadata schema* for use across systems that maintain permanent electronic records?

*A schema is a logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax and the optionality (obligation level) of values (ISO 23081.1 s3 Terms and Definitions)

☐ My agency has adopted an external standard (e.g., International Organization for Standardization (ISO), industry, or military standard)

☐ Defining records management metadata schema is done at the department level and used enterprise wide (i.e. all entities within the department use the same one)

☐ Defining records management metadata schema is done at the individual component agency/bureau/office level (i.e. each uses its own unique one)

☐ As an independent agency, records management metadata schema is defined and mandated for use across the agency by the Office of the Chief Information Officer

☐ My agency/component/bureau/office does not have or use a metadata schema

☐ Do not know

☐ None of the above, please explain

84. Which of the following best describes your agency's use of controlled vocabularies, thesauri, or term lists that ensure consistent data entry of metadata?

☐ My agency/component developed its own based on internal practices

☐ My agency/component has adopted an external standard (e.g., ISO, industry, military standard)

☐ Controlled vocabularies, thesauri, or term lists are defined by the department and mandated for use by all agencies/bureaus/offices

☐ As an independent agency, controlled vocabularies, thesauri, or term lists are defined and mandated for use across the agency by the Office of the Chief Information Officer

☐ My agency/component does not use controlled vocabularies, thesauri, or term lists

☐ Do not know

☐ None of the above, please explain

85. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Section V: Records Management Program - NARA/OMB *Managing Government Records Directive* (M-12-18) Reporting Requirements

The joint NARA/OMB *Managing Government Records Directive* (M-12-18) of August 24, 2012, includes specific action items towards ensuring government openness and accountability through more complete documentation of Federal business; improved identification, safeguarding, and eventual transfer to NARA of permanent records; and increased efficiency for agencies in their business processes. (NARA/OMB *Managing Government Records Directive* (M-12-18), http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.)

Goal 1: *Require Electronic Recordkeeping to Ensure Transparency, Efficiency, and Accountability*

To promote openness and accountability and reduce costs in the long term, the Federal Government should commit immediately to the transition to a digital government.

Goal 1.1: *By 2019, Federal agencies will manage all permanent electronic records in an electronic format*

By December 31, 2019, all permanent electronic records in Federal agencies will be managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format. By December 31, 2013, each agency will develop and begin to implement plans to achieve this transition. Agencies should also consider the benefits of digitizing permanent records created in hard-copy format or other analog formats (e.g., microfiche, microfilm, analog video, analog audio).

Goal 1.2: *By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format*

By December 31, 2016, Federal agencies must manage all email records in an electronic format. Email records must be retained in an appropriate electronic system that supports records management and litigation requirements (which may include preservation-in-place models), including the capability to identify, retrieve, and retain the records for as long as they are needed. Beginning one year after issuance of this Directive, each agency must report annually to OMB and NARA the status of its progress toward this goal.

Goal 2: *Demonstrate Compliance with Federal Records Management Statutes and Regulations*

The Federal Government should commit to manage more effectively all records consistent with Federal statutes and regulations and professional standards. Agencies must meet the following requirements:

Requirement 2.1: *Agencies Must Designate a Senior Agency Official (SAO) for Records Management*

86. Does your agency have an SAO for Records Management? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)

☐ Yes
☐ No
☐ Do not know

87. If Yes: Does your Agency Records Officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

☐ Yes
☐ No
☐ Do not know

Requirement 2.5: *SAO for Records Management Shall Ensure that Records are Scheduled*

88. Did your agency meet the deadline to submit records schedules for all unscheduled paper and other non-electronic records by December 31, 2016?

☐ Yes - All retention schedules have been submitted and approved by NARA
☐ Yes - Retention schedules have been submitted and are pending NARA approval
☐ No - Retention schedules are in draft form and have not yet been submitted to NARA
☐ No
☐ Do not know
☐ Other, please explain

89. Does your agency have a method of continually identifying new and unscheduled records?

☐ Yes
☐ No
☐ Do not know

90. If Yes: Which method(s) does your agency use? (Choose all that apply)

☐ Regular surveys
☐ Regular inventories
☐ Records management evaluations, site assessments, or audits of program offices
☐ Work with program managers to identify new programs and related records
☐ Work with Privacy Officer and review SORNs (Systems of Records Notices)
☐ Work with FOIA Officer
☐ Records Liaison Officers notify Agency Records Officer of new record series
☐ Require use and annual update of file plans
☐ Participate in design and retirement of information systems and note changes in records
☐ Outreach and awareness
☐ Other, please explain

91. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

☐ Yes
☐ No
☐ Do not know

92. If Yes: Please send to rmselfassessment@nara.gov by March 17, 2017, an updated spreadsheet containing only the newly identified unscheduled records that have not already been reported to NARA. (The spreadsheet was sent to RMSA contacts on December 13, 2016, along with an advanced copy of the questionnaire. Please email rmselfassessment@nara.gov if you did not receive it or need another one.)

Section A4: *Embed records management requirements into cloud architectures and other Federal IT systems and commercially-available products*

93. Does your agency use cloud services?

☐ Yes
☐ No
☐ Do not know

94. If Yes: For what purpose(s) is your agency using cloud services? (Choose all that apply)

☐ Email
☐ Administrative functions such as payroll, purchasing, and financial management
☐ Mission/program-related functions
☐ Other, please explain
☐ Do not know

95. If Yes: Are recordkeeping requirements included?

☐ Yes
☐ No
☐ Do not know

Section B3: *Establish a formal records management occupational series*

96. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, my agency does not use the General Schedule (GS) job classifications

97. If No: Why will your agency NOT be using the new job series?

Section B4: *Improve the effectiveness of Federal records management programs through analytical tools and enhanced NARA oversight*

98. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

☐ Yes
☐ No
☐ Do not know
☐ Comments (Optional): Please include in your comments how you use the RMSA

End Records Management Program - NARA/OMB *Managing Government Records Directive* **(M-12-18) Reporting Requirements Section**

The remaining questions are for demographic purposes.

Section VI: Agency Demographics

99. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)

☐ 500,000 or more FTEs
☐ 100,000 – 499,999 FTEs
☐ 10,000 – 99,999 FTEs
☐ 1,000 – 9,999 FTEs
☐ 100 – 999 FTEs
☐ 1 – 99 FTEs
☐ Not Available

100. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

☐ Senior Agency Official
☐ Office of the General Counsel
☐ Program Managers
☐ FOIA Officer
☐ Information Technology staff
☐ Records Liaison Officers or similar
☐ Administrative staff
☐ Other, please be specific:
☐ None

101. How much time did it take you to gather the information to complete this self-assessment?

☐ Under 3 hours
☐ More than 3 hours but less than 6 hours
☐ More than 6 hours but less than 10 hours
☐ Over 10 hours

102. Did your agency's senior management review and concur with your responses to the 2016 Records Management Self-Assessment?

☐ Yes
☐ No
☐ Do not know

103. Please provide your contact information.

Name:
Agency, Bureau, or Office:
Job Title:
Email Address:
Phone Number:

104. Are you the Agency Records Officer?

☐ Yes
☐ No

105. If No: Please provide the Agency Records Officer's contact information.

Name:
Email Address:
Phone Number:

106. Do you have any suggestions for improving the Records Management Self-Assessment next year?

NARA reserves the right to request additional documentation or a follow-up meeting to verify your responses. If you wish to provide supporting documentation for your answers or other information to NARA, please send it to rmselfassessment@nara.gov.

Thank you for completing the 2016 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to rmselfassessment@nara.gov.